

U.S. Marine Corps



**INSPECTION
AND
ACCEPTANCE**



DEPARTMENT OF THE NAVY
HEADQUARTERS UNITED STATES MARINE CORPS
WASHINGTON, D.C. 20380

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MCCTA
16 Apr 1987

From: Commandant of the Marine Corps

Subj: INFORMATION RESOURCES MANAGEMENT (IRM) INSPECTION AND
ACCEPTANCE

Ref: (a) MCO 1510.37
(b) MCO P5231.1A
(c) MCO 5271.1
(d) MCO P5600.31

Encl: (1) IRM-5231-17

1. PURPOSE. To provide guidance and instructions on inspection and acceptance procedures as required by references (a) and (b).
2. AUTHORITY. This publication is published under the auspices of reference (c).
3. APPLICABILITY. The guidance contained in this publication is applicable to all contractors and Marine Corps personnel responsible for the inspection and acceptance of deliverables. This publication is applicable to the Marine Corps Reserve.
4. DISTRIBUTION. This technical publication will be distributed as indicated. Appropriate activities will receive updated individual activity Table of Allowances for Publications. Requests for changes in allowance should be submitted in accordance with reference (d).
5. SCOPE
 - a. Compliance. Compliance with the provisions of this publication is required unless a specific waiver is authorized.
 - b. Waivers. Waivers to the provisions of this publication will be authorized only by CMC (CC) on a case by case basis.
6. RECOMMENDATIONS. Recommendations concerning the contents of this technical publication should be forwarded to MCCTA via the appropriate chain of command. All recommended changes will be reviewed upon receipt and implemented if appropriate.

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7. SPONSOR. The sponsor of the technical publication is
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Encl: (1) New page inserts to IRM-5231-17

1. PURPOSE. To transmit new page inserts and direct pen changes to the basic technical publication of 16 April 1987.

2. ACTION.

a. Change the CMC Code in the basic letter of promulgation from "CCI" to "MCCTA" in paragraphs 6 and 7.

b. Remove pages 2-4, 2-5, C-1, D-1 and the COMMENTS/REVISIONS page and replace with new pages 2-4, 2-5, C-1, D-1, and COMMENTS/REVISIONS page.

3. SUMMARY OF CHANGE. This change updates the configuration management terminology and clarifies the use of and the relationship between functional, allocated, and/product baselines. This revision also updates and mirrors the life cycle management (LCM) development process as reflected in IRM-5231-01A, System Development Methodology - Overview.

4. FILING INSTRUCTIONS. This change transmittal will be filed immediately following the signature page of the basic technical publication.

5. CERTIFICATION. Review and approved this date.

D. P. HOUSTON
Colonel, U. S. Marine Corps
Director, Marine Corps
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Telecommunications Activity

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Information Resources Management (IRM) Standards and Guidelines Program

Inspection and Acceptance
IRM-5231-17

16 APR 1987

Encl (1)

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RECORD OF CHANGES

Log completed, change action as indicated.

Change Number	Date of Change	Date Received	Date Entered	Signature of Person Entering Change

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Chapter 1

GENERAL

1.1. INTRODUCTION. The Inspection and Acceptance (I&A) Standard provides guidelines to be used in the inspection and acceptance of deliverables. The I&A Standard encompasses the receipt, inspection, evaluation, and acceptance of deliverables. Some examples of deliverables controlled by the I&A process are detailed design specifications, source programs, users manuals, system operations manuals, and data base updates. The I&A Standard also provides guidance in handling and documenting problems encountered during the I&A cycle of activities.

1.2. SCOPE. This standard will describe the flow and documentation of the components that will be used for I&A processing. All deliverables such as source programs, data base updates, detail design specifications, and users manual updates will be controlled and evaluated through the use of this standard.

1.2.1. Organizational Structure. The following organizational structure is applicable to the I&A Standard for deliverables. It should be noted that all of the positions listed below may not exist at every operational activity.

a. Project Manager (PM). The PM provides total automated data processing (ADP) support to the logistics functional area of the Marine Corps as a field activity of Headquarters Marine Corps (HQMC). The PM has the final approval authority concerning the acceptance of deliverables.

b. Contracting Officer (CO). The CO monitors contractor activities to assure compliance with the terms of the contract. The CO issues approvals required under the contract so that work proceeds in an orderly manner. The CO also modifies the contract where appropriate, accepts deliverables, and closes out the contract upon completion.

c. Contracting Officer's Technical Representative (COTR). The COTR represents the CO in technical matters involving deliverables. The COTR notifies the appropriate personnel on the availability of deliverables, ensures that dates are met, and acts as the liaison between the contractor and user activities in resolving minor deficiencies in the deliverables. The COTR also maintains the status of the deliverables through a logging process.

1.3. APPROACH. To be considered complete and acceptable, a deliverable must, at a minimum, sequentially satisfy the requirements of four I&A processing steps. The four I&A processing steps are listed below in order of occurrence. These four steps, when combined with a viable problem reporting

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function, complete the I&A processing cycle. These steps are described in detail in Chapter 2.

- a. Step 1 - Receipt of Deliverables
- b. Step 2 - Inspection of Deliverables
- c. Step 3 - Evaluation of Deliverables
- d. Step 4 - Acceptance of Deliverables

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Chapter 2

PROCESSING PROCEDURES

2.1. GENERAL. The Inspection and Acceptance of all project deliverables should be processed in accordance with the standards described in the following paragraphs. Within the appendixes, three forms are provided as examples for receipt, acceptance, and deliverable problem reporting. These forms should conform to the format described in the Appendixes. They also should include a distribution list as specified by the Project Manager. The CO and COTR, as appropriate, should maintain status logs of the deliverables during I&A processing. The receiving and processing organizations should also maintain internal logs of deliverables during the I&A process from initial receipt through final acceptance.

2.2. INSPECTION AND ACCEPTANCE PROCESS. The following paragraphs will identify and describe the four basic I&A processing steps necessary to accept a deliverable; receipt, inspection, evaluation, and acceptance.

2.2.1. Receipt of Deliverables.

a. DD Form 1423. All plans, documentation, and reports which are required by the Project Manager from either internal government offices or from private contractors will be specified on a DD Form 1423, Contract Data Requirements List (CDRL), or authorized equivalent. The format, type of copy, number of copies, degree of detail required, delivery schedules, and purpose of submission should be specified on the CDRL.

b. Contractor Deliverables. In the case of contractor deliverables, the I&A process begins when the contractor provides the CO with the required contract deliverable specified on the accompanying CDRL. The CO should log the deliverable and submit it to the COTR for the control of inspection and technical evaluation. For government in-house documentation deliverables, delivery will be made to the COTR for I&A processing.

c. Non-documentation Project Deliverables. Non-documentation project deliverables such as source or object code libraries, other software releases or data base updates should also be controlled through the I&A process with procedures defined by the Project Manager in accordance with this standard. A form should accompany the deliverable which will identify the deliverable and serve as an official receipt document. Appendix B is an example of such a form and contains the minimum information which should be provided to document the receipt of a deliverable between operational activities.

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d. Problem Reporting. If there is a problem encountered concerning the receipt of deliverables, it should be documented in an I&A Problem Report as described in Appendix C.

2.2.2. Inspection of Deliverables.

a. Contractor Deliverables. Contractor deliverables submitted through the Contracting Officer are logged and then delivered to the COTR. The COTR will perform an inspection of the deliverable package to insure that the deliverable components conform to the requirements listed on the CDRL (DD Form 1423). In-house deliverables will also be submitted to the COTR for inspection.

b. Data Base Updates. In the case of deliverables such as data base updates being sent between the project staff and Marine Corps operational activities such as CDPA's, RASC's, or deployable units an inspection of the deliverables must be performed at the receiving location. The inspection should insure that the deliverables described on the Deliverable Receipt Form are complete and accurately described. Results of the inspection should be logged.

c. Problem Reporting. If any specific problem concerning the inspection of deliverables is encountered, it must be reported to the contracting officer immediately. This will be followed in writing on an I&A Problem Report.

2.2.3. Evaluation of Deliverables.

a. COTR Evaluation. The COTR will evaluate the deliverable using predetermined evaluation and testing criteria, verification and validation (V&V), and quality assurance (QA) standards to determine if the finished product meets the original requirements or performs as it was designed.

b. Documentation Deliverables. Documentation deliverables will be reviewed and evaluated in terms of adequacy, validity, technical merit, and conformance with the requirements specified in the Data Item Description (DD Form 1664) or similar document which accompanied the CDRL (or equivalent). V&V and QA should be performed in accordance with the QA Plan Standard.

c. Software. The evaluation process for software will insure that acceptance testing is performed via a test plan developed in accordance with the Test Plan Standard. Source programs should meet all requirements stated in the Programming Standard. Deliverables such as general design specifications and detailed design specifications should also conform to their corresponding standard. The testing of software programs or entire systems should be evaluated using the Test Plan Standard. V&V should be performed in accordance with the QA Plan Standard.

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d. Categorization. Each deliverable will be categorized as approved as submitted, approved requiring modification, or disapproved. Specific problems concerning the evaluation of deliverables should be documented on an I&A Problem Report Form. Logging of the actions should occur.

2.2.4. Acceptance of Deliverables. Once the evaluation of deliverables is complete, the COTR will advise the CO or the appropriate internal project development manager that the deliverable has passed the inspection and evaluation processing steps and log the final acceptance.

a. Acceptance Notification. For contractor deliverables, the CO is responsible for notifying the contractor using the method outlined in the appropriate contract that the deliverable has been formally accepted. For in-house deliverables, the Project Manager is responsible for authorizing final acceptance. For either contractor or in-house deliverable, if the initial receipt of a deliverable was specified on a CDRL (DD Form 1423) and block 7 of the DD Form 1423 contains a "DD" then formal written acceptance is required. If block 7 of the DD Form 1423 does not contain a "DD" then the acceptance procedures will be the same as the procedures for accepting a deliverable between operational activities as described in the following paragraph.

b. Acceptance Documentation. If other operational activities such as RASC's are receiving deliverables from the Project Office, then a means of documenting the acceptance of deliverables is necessary. This could be accomplished by the use of a less formalized document such as a Deliverable Acceptance Form. Appendix D provides an example which contains the minimum information which should be provided to document the acceptance of a deliverable between operational activities. Once signed, the acceptance form should be returned to the Project Manager in accordance with pre-determined distribution procedures. For in-house deliverables, the COTR is responsible for the final logging of product acceptance. The CO is responsible for the final logging of product acceptance of contractor deliverables.

2.3. INSPECTION AND ACCEPTANCE PROBLEM REPORTING.

2.3.1. General. When combined with the four basic I&A processing steps, problem reporting forms an integral part of the I&A processing cycle. In order to allow specific problems to be documented and actions controlled during either the receipt, inspection, or evaluation processing steps, a document such as a Problem Report Form is required.

2.3.2. Problem Report Form. This form should identify and describe in detail the specific problem. Once initiated, the form should be logged, controlled, and monitored by the COTR with formal direction being provided for problem resolution by the

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Project Manager for in-house deliverables, and by the CO for contractor deliverables. When the problem has been resolved and if a resubmission of the deliverable is required, the I&A process will be repeated until the product is accepted.

2.4. DOCUMENTATION DEPENDENCIES. The documentation governed by this standard may also rely on the content of other project deliverables and/or standards. Because the Inspection and Acceptance Standard is a convention standard that will be referred to in the preparation of deliverables governed by other standards, there is no specific preceding documentation to this standard.

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Appendix A

REFERENCES

1. MCO P5231.1A Life Cycle Management for Information Systems Projects (LCM-IS)
2. MCO P4855.11 The DOD Quality System Review Program
3. MIL-I-45208A Inspection System Requirements
4. MIL-S-52779A Software Quality Assurance Program Requirements

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Appendix B

DELIVERABLE RECEIPT FORM EXAMPLE

Deliverable Receipt Form

1. TO: NAME _____ ADDRESS _____

2. FROM: NAME _____ ADDRESS _____

3. DELIVERABLE TITLE _____

4. DELIVERABLE ID NUMBER _____

5. DELIVERABLE DESCRIPTION _____

6. DATE OF SUBMISSION _____

7. AUTHORIZED SIGNATURE _____ DATE _____

DISTRIBUTION: To be determined.

Deliverable Receipt Form Description

1. TO - Enter the NAME and ADDRESS of the government agency, contractor, or individual where the deliverable is being sent.
2. FROM - Enter the NAME and ADDRESS of the originating government agency, contractor, or individual sending the deliverable.
3. DELIVERABLE TITLE - Enter the title of the deliverable which is being sent.
4. DELIVERABLE ID NUMBER - Enter the appropriate number assigned to the deliverable being sent.
5. DELIVERABLE DESCRIPTION - Enter a brief description of the deliverable being sent.
6. DATE OF SUBMISSION - Enter the date that the deliverable was sent.

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7. AUTHORIZED SIGNATURE - The person who is authorized to receive the deliverable should sign and date on this line.

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Appendix C

I&A PROBLEM REPORT EXAMPLE

I&A Problem Report

1. TO: NAME _____ ADDRESS _____

2. FROM: NAME _____ ADDRESS _____

3. DELIVERABLE TITLE _____
4. DELIVERABLE ID NUMBER _____
5. PROBLEM DESCRIPTION _____

6. DATE OF ACCEPTANCE _____
7. AUTHORIZED SIGNATURE _____ DATE _____

DISTRIBUTION: To be determined.

I&A Problem Report Description

1. TO - Enter the NAME and ADDRESS of the person or government agency where the deliverable Problem Report is being sent.
2. FROM - Enter the NAME and ADDRESS of the agency or person sending the deliverable Problem Report.
3. DELIVERABLE TITLE - Enter the title of the deliverable.
4. DELIVERABLE ID NUMBER - Enter the ID number assigned to the deliverable.
5. PROBLEM DESCRIPTION - Enter a brief description of the problem encountered.
6. DATE OF SUBMISSION - Enter the date that the deliverable Problem Report was sent.
7. AUTHORIZED SIGNATURE - Enter the person authorized to send the Problem Report.

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Appendix D

DELIVERABLE ACCEPTANCE FORM SAMPLE

Deliverable Acceptance Form

1. TO: NAME _____ ADDRESS _____

2. FROM: NAME _____ ADDRESS _____

3. DELIVERABLE TITLE _____
4. DELIVERABLE ID NUMBER _____
5. DELIVERABLE DESCRIPTION _____

6. DATE OF ACCEPTANCE _____
7. AUTHORIZED SIGNATURE _____ DATE _____

DISTRIBUTION: To be determined.

Deliverable Acceptance Form Description

1. TO - Enter the NAME and ADDRESS of the person or contractor where the acceptance form is being sent.
2. FROM - Enter the NAME and ADDRESS of the agency or person sending the acceptance form.
3. DELIVERABLE TITLE - Enter the title of the deliverable.
4. DELIVERABLE ID NUMBER - Enter the appropriate ID number assigned to the deliverable.
5. DELIVERABLE DESCRIPTION - Enter a brief description of the deliverable being accepted.
6. DATE OF ACCEPTANCE - Enter the date that the deliverable was accepted.
7. AUTHORIZED SIGNATURE - Enter the person authorized to approve accepting the deliverable.

